

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2009

State: RI



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2008 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2009 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided in the FY 2009 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2008. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the report using the online Web BGAS (Block Grant Application System). States that use the Synar Survey Estimation System (SSES) must also upload one copy of SSES Tables 1-5 (in Excel) to Web BGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4 and 5, and Forms 2 and 3, if applicable, (in Excel format) to Web BGAS. Instructions on how to access the Web BGAS system are included in the attached cover letter.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Ms. Barbara Orlando
Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2009: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT

42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.

SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2009 is up-to-date and approved by the Center for Substance Abuse Prevention.

State:

Name of Chief Executive Officer or Designee:

Signature of CEO or Designee:

Title:

Date Signed:

If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2008 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

- 1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year (see 42 U.S.C. 300x-26).**

- a. Has there been a change in the *minimum sale age* for tobacco products?**

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No**

If Yes, indicate change. (Check all that apply.)

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) (Please describe.) _____

- c. Have there been any changes in the law concerning *vending machines*?**

☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Total ban enacted
☐ Banned from location(s) accessible to youth
☐ Locking device or supervision required
☐ Other change(s) (Please describe.) _____

- d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply.)**

☐ Placed on file for public review

☒ Posted on a State agency Web site (Please provide exact Web address.)

www.mhrh.ri.gov

- ☐ Notice published in a newspaper or newsletter
- ☐ Public hearing
- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other change(s) *(Please describe.)* _____

3. Identify the following agency or agencies *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).*

a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:

Dept. of Mental Health, Retardation & Hospitals (MHRH)

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:

Dept. of Mental Health, Retardation & Hospitals (MHRH)

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(ies) responsible for enforcing youth tobacco access law(s):

municipal police departments under the supervision of the Dept. of MHRH

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency(ies) responsible for tobacco prevention activities.

Dept. of Mental Health, Retardation & Hospitals and Health

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies

☐ Are the same

☐ Have a formal written memorandum of agreement

☒ Have an informal partnership

☒ Conduct joint planning activities

☒ Combine resources

☒ Have other collaborative arrangement(s) *(Please describe.)* The Dept. of Health funds community organizations such as the municipal RISAPA task forces and other Dept. of MHRH contractors to conduct tobacco prevention initiatives. Staff from both Departments collaborate on media campaigns to maximize the impact of available funds. Recent collaboration has occurred in the areas of legislation,

Tobacco Control Strategic Planning, Tobacco Disparity Planning and GIS Mapping of tobacco retailers. The Depts. also are coordinating follow-up on public complaints regarding merchant violations of youth access and other tobacco-related statutes.

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2008 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☒ Enforcement is conducted exclusively by local law enforcement agencies.
☐ Enforcement is conducted exclusively by State agency(ies).
☐ Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES. Please fill in the number requested. If State law does not provide for tobacco retailer license/permit suspension or revocation, please mark "NA."

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	46		46
Number of <u>fines assessed</u>	46		46
Number of <u>permits/licenses suspended</u>	0		
Number of <u>permits/licenses revoked</u>	0		
Other (Please describe.) additional info pending from District Court			

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply.)

- ☒ Merchant education and/or training
☐ Incentives for merchants who are in compliance (e.g., reward and reminder)
☒ Community education regarding youth access laws
☒ Media use to publicize compliance inspection results
☒ Community mobilization to increase support for retailer compliance with youth access laws
☒ Other activities (Please list.) _____

Briefly describe all checked activities:

In Rhode Island, the community substance abuse prevention task forces created under the Rhode Island Substance Abuse Prevention Act of 1987 (RISAPA) remain the main vehicle through which Rhode Island implements environmental prevention strategies. In particular, RISAPA task forces have played an essential role in allowing the State to meet the requirements placed on it by the

Synar Amendment to the federal Public Health Act. Task forces' broad-based representation, legislative mandate and youth leadership development focus places them in a unique position to implement environmental strategies and to effect positive change within their communities.

In FY 2008, RISAPA task forces continued to advocate for police participation in the Synar Survey as well as for ongoing enforcement efforts. Task forces recruited youth volunteers who attempted to purchase tobacco products from retail vendors. In several communities, task forces distributed youth access and smoking prevention materials to retail tobacco vendors to increase compliance with the youth access to tobacco law and made public the results of both the annual local Synar Survey and ongoing enforcement efforts. In conjunction with local police departments, some task forces also sent congratulatory letters to vendors found to be in compliance with the youth access statute as a result of on-going compliance checks.

Several municipalities have successfully petitioned the state legislature for authorization to impose local license requirements for retailing tobacco products and to permit the municipality to impose sanctions consistent with state statute. Fines collected remain within the municipality; and, in some instances, are allocated for use by the police department and/or substance abuse prevention task force.

Statewide, task forces successfully advocated for municipal regulations and ordinances which limit tobacco use, particularly in settings where youth are present. Ordinances were enacted which prohibit tobacco use in municipally-owned buildings, on municipal athletic and recreational fields, and at municipally-sponsored events which involve underage youth. During FY2008, task forces monitored compliance with these ordinances. Task forces also have assisted schools in complying with the State law which prohibits smoking on school property by collaborating in developing and enforcing school substance abuse policies; and, in one instance, actually providing bathroom monitors.

During the FY 2005 legislative session, the Rhode Island General Assembly passed the Public Health and Workplace Safety Act (RI Gen Laws 23-20.10), making Rhode Island the seventh state in the nation to ban almost all indoor smoking.

The SSA and the RISAPA task forces continued to work collaboratively with the RI Dept. of Health, with municipal solicitors, and with other community partners to ensure that the new statute is enforced effectively. For example, task force coordinators have conducted follow-up visits to local establishments which have been identified as having violated the new statute. Coordinators and other task force volunteers have contacted owners of local establishments to urge compliance with the statute and have educated municipal solicitors about the statute and advocated for full enforcement. While not directly impacting youth

access to tobacco products through illegal retail sales, the new statute will de facto reduce youth access to tobacco products by prohibiting their use in establishments covered by the statute.

In addition, the majority of task forces implemented campaigns to educate all community members about the risks associated with tobacco use, including the harmful effects of environmental tobacco smoke. These efforts, funded primarily through the RISAPA (MHRH-administered) and the Tobacco Control Program (Dept. of Health-administered) have served to decrease the incidence and prevalence of tobacco use statewide. Task forces also have provided resources to assist current tobacco users who wish to quit or offered referrals to state-sponsored cessation programs. Many of these cessation initiatives were done in collaboration with school student assistance counselors whose positions were funded (80%) through the SSA.

When implementing tobacco prevention activities, task forces are encouraged to emphasize that Rhode Island's youth access statute prohibits the "distribution" as well as the sale of tobacco products to youth, which includes adults either giving or purchasing tobacco products for underage individuals.

Synopses of task force-sponsored efforts relative to tobacco prevention for FY 2008 are summarized below:

Barrington

- ☐ Implemented Project Northland in the school system.
- ☐ Raised awareness in the community about vendors who violate the State's youth access to tobacco statute
- ☐ Worked collaboratively with staff from the RI Dept. of Health, was successful in having one of the local elementary schools adopt the Protecting Me/Protecting You curriculum which will be implemented in the FY 09 academic year
- ☐ Utilized a Department of Health Tobacco mini-grant to sponsor a Kick Butts Day kickball tournament and used the April Age software in advisory groups to demonstrate the effects of tobacco on the skin
- ☐ Supported Student Assistance Counselors in both the middle and high schools with smoking cessation initiatives

Bristol

- ☐ Worked collaboratively with the local police department to conduct periodic enforcement checks related to compliance with the State's youth access to tobacco statute. The Police Department designated a new compliance officer who has begun to outreach to local vendors and who will work with the task force on tobacco and underage drinking prevention efforts
- ☐ Task force collaborated with both the local middle school and high school with inputting tobacco messages in all student agendas
- ☐ Police department enforced no smoking at all youth events and in collaboration with the task force, installed no smoking signs at all playgrounds

Burrillville

- ☐ Established a sub-committee which addresses the concerns of parents of pre school-aged children. The sub-committee develops strategies to address topics such as brain growth and development, nutrition and exercise. They are educating parents about healthy behaviors and addictive behavior patterns and their impact on child development
- ☐ Worked with the local middle school to facilitate smoking cessation programs. The task force successfully advocated for the continued implementation of Project Northland. Both the local middle school and high school participated in the Great American Smoke-Out

Chariho

- ☐ Provided support to the local middle school to implement the Life Skills Program which includes a tobacco prevention component and the students participated in "Kick Butts Day"
- ☐ In conjunction with the "Teens as Teachers" group at the local high school worked with the local police department in conducting Synar Survey and enforcement checks
- ☐ Worked with the local middle and high schools to improve policies related to the possession/use of ATOD. Prevention and intervention services, as well as

educational and community service, were incorporated into school consequences for substance abuse policy infractions

- ☐ In conjunction with the students in the “SADD” program, fliers were hung in the community to promote “World No Tobacco Day”. Students distributed brochures to several community businesses that promoted tobacco cessation, as well as secondhand smoke and underage tobacco prevention

Coventry

- ☐ Coordinator implemented the NOT (Not on Tobacco) Program, a cessation alternative to suspension for violation of the school’s tobacco possession policies at the high school. The Life Skills Program also was implemented in the local school system
- ☐ Sponsored “Ask Olga” (tobacco prevention) assembly held for elementary school children (5th grade)

Cumberland

- ☐ Assisted the local police department in the conduct of the Synar Survey and enforcement activities
- ☐ Sponsored two additional cessation groups for the high school which also provided a link to the Town’s Juvenile Hearing for referrals
- ☐ Supported implementation of several prevention initiatives which have a tobacco prevention component: Right Choices, Smart Kids, Cops that Care and SADD

East Greenwich

- ☐ The task force and the local Drug Program Director worked with the School Committee to update the policy which provides for additional counseling support for students who violate the smoke-free schools policy
- ☐ Conducted Youth to Youth trainings which addressed the risks associated with tobacco use and presented alternative avenues for dealing with stress and

anxiety; conducted peer and character education which focused on providing info on the dangers of tobacco use and on decision-making, peer dynamics and peer support

East Providence

- ☐ Advocated for passing local ordinances and statewide legislation on environmental smoke and ensuring that there is continued funding for the state's tobacco control program.
- ☐ Implemented the D.I.C.E. (drug intervention community educators) youth program which put in place programs such as Peer Education, Teens teaching the Truth. These programs teach the dangers of drugs, alcohol and tobacco use. D.I.C.E. members have participated as surveyors in the annual Synar survey

Exeter/West Greenwich

- ☐ Sponsored SADD groups and Youth to Youth in grades 9-12. Both groups addressed risks associated with tobacco use at the local high school
- ☐ Supported implementation of Project Northland in grades 6-8
- ☐ Participated in "World No Tobacco Day" via presentations and information dissemination

Foster/Glocester

- ☐ Sponsored Youth to Youth programs
- ☐ Sponsored implementation of Project Northland in grades 6 & 8
- ☐ Supported the efforts of the police department with their implementation of the DARE Program
- ☐ Worked in collaboration with police to do Synar survey and enforcement checks

- ☐ Publicly recognized those establishments in the paper that did not sell tobacco products to minors
- ☐ Provided parent education awareness campaign monthly in the local paper
- ☐ Partnered with Sojourner House (Domestic Violence Shelter) in adopting ATOD risk awareness messages to their violence prevention efforts with youth in the classroom, at community organizations and with awareness groups

Jamestown

- ☐ Implemented Project Northland and Towards No Tobacco Use
- ☐ Coordinated with local police department to conduct tobacco compliance checks in the community
- ☐ Collaborated with additional task forces to sponsor Dr. Victor DeNobles' presentations to youth in grades 3-6 as well as teachers and staff
- ☐ Collaborated with police to enforce no smoking policies at the local skate park
- ☐ Worked with legislator and police in the creation of a bill that seeks to have cigars placed behind the counter (did not get approved this year)
- ☐ Worked with police to provide merchant education related to tobacco sales and tobacco product placement

Johnston

- ☐ Assisted local police department in monitoring establishments that have been cited for non-compliance with youth access statute
- ☐ Collaborated with the Department of Health's "Operation Storefront" which assessed tobacco signage and provided merchant education.

- ☐ Sponsored the position of a student assistance counselor in the local high school. The SAC is a certified tobacco treatment specialist who, as part of her regular responsibilities, conducts smoking cessation activities in the high school
- ☐ Acquired a Tobacco Treatment Specialist and collaborated with the Department of Health & the Rhode Island Public Health Association, to coordinate smoking cessation groups for uninsured populations.

Lincoln

- ☐ Sponsored a smoking cessation program at the local library
- ☐ Provided merchant education on the policies of selling tobacco products to minors, including cigars.
- ☐ Supported the local high school's "Pathfinders" group which is a peer leadership group. Pathfinders and task force representatives visited local elementary and middle schools to discuss ATOD issues and making healthy decisions. The task force and Pathfinders also collaborated on efforts to raise money for Youth to Youth training and other prevention-related initiatives. In conjunction with the task force, Pathfinders coordinated Great American Smoke-out activities at the high school
- ☐ Worked with the School Resource Officers to enforce the smoke-free schools statute and associated school policies. Students found in violation of the policy related to smoking on school grounds are referred to the local Juvenile Hearing Board
- ☐ Worked with local students to assist the police department with Synar-related initiatives. Compliance results were published in a local newspaper
- ☐ Supported the Life Skills Program which is offered at the local middle school
- ☐ Funded Project Northland at the middle school
- ☐ Funded several evidence-based prevention programs at the local Boys and Girls Club which include a tobacco prevention component
- ☐ Funded a tobacco cessation program at the local high school

Middletown

- ☐ Supported Dr. Victor DeNoble seven tobacco education sessions that reached 1083 students and evening community forums.
- ☐ Supported K-8 health teachers and high school student assistance counselors with providing tobacco education
- ☐ Supported the local police department in conducting Synar-related activities.

Narragansett

- ☐ Collaborated with the local police department in conducting Synar-related compliance checks
- ☐ Provided tobacco information and utilized Lung association Aging Computer Software for Health Fair at middle school

New Shoreham

- ☐ Funded Project Northland in the middle school
- ☐ Conducted an anti-tobacco campaign for 4-6th grades
- ☐ Supported the student assistance counselor with providing weekly sessions for 8-12 students on the negative effects of smoking and replacing those with positive choices.

Newport

- ☐ Sponsored Youth to Youth trainings and other Y-Y activities
- ☐ Sponsored an enrichment program at the Newport Art Museum. Focusing on tobacco prevention, the participants' (ages 5-11) artwork had an anti-smoking message. Artwork was displayed at the Newport Public Library and the Newport Hospital

- ☐ Provided support to the Student Assistance Program at the local middle school which includes tobacco prevention and cessation components
- ☐ Advocated for legislative changes affecting tobacco use and promotion in RI as well as nationally

North Kingstown

- ☐ Co-sponsored a community wellness day (SPIRIT Day) to promote healthy ATOD-free lifestyles which was attended by over 500 people. Task force distributed ATOD prevention materials at the event
- ☐ Supported the Student Assistance Counselor at the high school which implemented the Great American Smoke out. A smoking cessation group was formed as a result of the event
- ☐ Worked with the local police department to implement Synar-related compliance checks

North Providence

- ☐ One-time event at the high school conducted by the SADD Students. Students wore black t-shirts, “Don’t be 1 of 1900” and then distributed information on tobacco use and cessation in RI. A resource table was set up with information from the American Lung Association Tobacco Resource Center. Approximately, 1196 pieces of educational materials were distributed along with another 500 pieces at a July 4th community event
- ☐ Supported Advocacy Training and Media Literacy Training took place by Ocean State Action on Advocacy, Lobbying, Government Process and Tobacco Media Literacy for SADD Students
- ☐ Supported the participation of “Operation Storefront.” SADD members participated in this type of merchant education

North Smithfield

- ☐ Sponsored a Child Safety Day targeting all parents in the community. Smoking cessation was addressed during this event
- ☐ Continued to provide merchant education for vendors with the State's youth access law and checking ID's.
- ☐ Continued to work with the local police department to implement Synar-related compliance checks

Pawtucket

- ☐ Sponsored Students Working against Tobacco, a peer education and tobacco prevention group at the local high school. Through SWAT, the task force participated in vendor compliance checks and vendor education in conjunction with the local police department. SWAT members provided tobacco prevention education to elementary school children
- ☐ Coordinated implementation of Creating Lasting Family Connections at 4 locations, including low income housing sites, local community center, and a charter school, and Parenting Wisely for parents of middle school youth
- ☐ Conducted various health fairs in schools and community centers
- ☐ Conducted a Tobacco Community Improvement Project at a local charter school
- ☐ Sponsored an ATOD-free themed tree at the local December holiday celebration and an ATOD-free themed float in the local St. Patrick's Day parade
- ☐ Through the Community Tobacco Control (CTC) Program, conducted intensive GIS mapping of tobacco in RI which was presented by their Tobacco Control Coordinator and others in Seattle, Washington in March 2008
- ☐ Partnered with the other four CTC grant recipients statewide to reduce underage access of tobacco products and fighting for ordinances supporting our goals, both statewide and local

Portsmouth

- ☐ Placed tobacco prevention/cessation material at the local library for the Great American Smoke-out and World No Tobacco Day
- ☐ Disseminated ATOD-related info to all parents with students in the local school system via the school department's ListServ
- ☐ Successfully advocated for Project Northland to be implemented in the local school system
- ☐ Provided support to the Student Assistance Counselors who provided ATOD education to every student in the local school system.
- ☐ Distributed red ribbons to every child in the local school system
- ☐ Sponsored Teens Leading Children program which included a tobacco prevention component
- ☐ Worked collaboratively with the local high school SADD group put on a skit for middle school students for Kick Butts Day
- ☐ Collaborated with the Audubon Society and their college student intern to survey tobacco litter at the local beach and implemented a media campaign, with the goal of an ordinance banning tobacco at the local beach in 2009
- ☐ Collaborated with local police department to conduct Synar survey and follow up checks of non-compliant vendors

Providence

- ☐ Worked with local police department to conduct compliance checks and researched potential changes in municipal ordinances related to tobacco licenses
- ☐ Collaborated with the Department of Health to send out information and resources to businesses
- ☐ Collaborated with Providence Police to provide merchant education for tobacco vendors

Smithfield

- ☐ Sponsored All-Stars program which was implemented at local libraries
- ☐ In conjunction with the local police department and the Town Council, successfully advocated for adoption of stricter policies related to enforcement of tobacco and liquor laws. The new policies require owners of establishments that violate tobacco and/or liquor laws to be brought before the Town Council. Any fines imposed are awarded to the task force to further its prevention work
- ☐ A Tobacco Treatment Specialist was hired by the coalition to collaborate with the Department of Health and the RI Health Center Association to provide treatment for un-insured populations

South Kingstown

- ☐ Supported implementation of Project Northland in the two local middle schools
- ☐ In conjunction with the South County Community Action Agency, implemented Family Matters
- ☐ Worked collaboratively with the local school administration to improve the district's substance abuse policies
- ☐ Supported local police department in conduct of Synar-related compliance activities

Tiverton

- ☐ Sponsored implementation of Project ALERT in grade six of the local school with booster sessions offered in grade seven
- ☐ Assisted the local police department in conducting Synar-related activities

Warren

- ☐ Supported a smoking cessation group at the local middle school as well as a parent smoking cessation group coordinated by a local mental health agency. The student group also conducted peer education on the harmful effects of tobacco use
- ☐ Worked with the local police department to enforce No Smoking Ban at all school events along with Tobacco Awareness Week
- ☐ Successfully advocated to have no-smoking signs placed at all local recreational fields
- ☐ Assisted the local police department in conducting Synar-related activities

Warwick

- ☐ Assisted local police department with Synar-related survey and enforcement activities
- ☐ Disseminated tobacco prevention material throughout the community
- ☐ Worked with Student Assistance Counselors to include tobacco prevention during Red Ribbon Week events

West Warwick

- ☐ Sponsored the DARE program at all local elementary schools
- ☐ Sponsored the Explorers program at the local high school – tobacco prevention is addressed with this group and volunteers assist the local police department in conducting Synar-related survey and compliance checks
- ☐ Provided a resource table at the local middle and high schools for Kick Butts Day and the Great American Smoke-out

Westerly

- ☐ Sponsored Project Toward No Tobacco Use in grades 5-10 at local schools
- ☐ Presented information regarding the risks associated with underage tobacco use at local health fairs
- ☐ Sponsored Project Northland in local middle school

Woonsocket

- ☐ Continued to have a Policy and Enforcement Subcommittee. The membership of this subcommittee includes representatives from the local police department, local businesses, local government officials, and local CBO's. In addition to policy development, the subcommittee focuses on enforcement of state statutes and local policies and ordinances related to tobacco and alcohol
- ☐ Disseminated information on the harmful effects of tobacco use to parents of participants in the annual Youth Lead Conference
- ☐ Disseminated tobacco prevention material at various local health fairs
- ☐ Assisted in monitoring compliance with State's smoke-free workplace statute
- ☐ Held trainings for its Youth Committee members on conducting Synar survey and enforcement checks. Task force members then assisted with checks
- ☐ Conducted a GIS mapping project which mapped local tobacco outlets and participated in Operation Storefront in conjunction with the State Dept. of Health
- ☐ Created a media campaign on secondhand smoke which ran from May to June on local media outlets
- ☐ Participated in events related to the Great American Smoke-out, Kick Butts Day, and World No Tobacco Day
- ☐ Conducted a local tobacco license holders meeting which included training on checking identification

- d. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey? ☐ Yes ☒ No

If “Yes” to 5d, please describe the State’s procedure for minimizing risk of bias to the survey results:

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2008 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year? ☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. Please answer the following questions regarding the State’s annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).

- a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data? ☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3, 4 and 5 along with the ASR submission and go to Question 8. If No, continue to Question 7b.

- b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.

Unweighted RVR

Weighted RVR

Standard error (s.e.) of the (weighted) RVR

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

	+	(1.645	×)	=	
RVR Estimate	plus	(1.645	times	Standard Error)	equals	Right Limit

- c. Fill out Form 1 in Appendix A (Forms). (Required regardless of the sample design.)

- d. How were the (weighted) RVR estimate and its standard error obtained? (Check the one that applies.)

☐ Form 2 (Optional) in Appendix A (Forms) (Attach completed Form 2.)

☐ Other (Please specify. Provide formulae and calculations or attach and explain the program code and output with description of all variable names.)

- e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year? ☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

- f. Was a cluster sample design used? ☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? ☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

- g. Report the following outlet sample sizes for the Synar survey.

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and non-completion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

- h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the State’s Synar survey use a list frame? ☒ Yes ☐ No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: 2006

b. Percent coverage from the latest frame coverage study: 91.2%

- c. Was a new study conducted in this reporting period? ☐ Yes ☒ No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: 2009

9. Has the Synar survey inspection protocol changed from the previous year?

☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From 06/05/08 To 09/30/08
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

67

NOTE: If the State uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

--

c. Fill out and attach Form 5 in Appendix A (Forms 1–5). *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)*

SECTION II: FFY 2009 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in the:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2009. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

The Department of Mental Health, Retardation & Hospitals again intends to provide guidance to the General Assembly regarding the effects of amendments made to the State's youth access statute which effectively removed license revocation as a sanction for repeated violations of the statute. Also, the Department plans to continue to meet with the Police Chief's Association to educate them about Synar Amendment requirements and the effectiveness of ongoing enforcement in reducing underage access to tobacco products.

Despite an anticipated increased State budget deficit, for FFY 2009, the State intends to continue funding to municipal police departments to conduct the annual Synar survey and to conduct on-going enforcement efforts. The Department also will continue to offer workshops to law enforcement officers on protocols and best practices for conducting the annual survey and compliance checks. These workshops will be conducted in collaboration with the State's Police Training Academy located at the Community College of RI. Coordination of educational efforts will permit training of both current and future law enforcement officers.

Rhode Island plans to continue a media campaign with the cooperation of the RI Department of Health and will continue to sponsor tobacco prevention initiatives. For merchant education the state will continue to post downloadable versions the Retailer's Tobacco Guide and the statutorily-mandated signage at the MHRH website. Rhode Island will continue its strong partnership with the Department of Health and with the local municipal Substance Abuse Prevention Task Forces on vendor education, community education and promotion of prevention activities. The Departments of MHRH and Health also will continue to collaborate on legislative agendas, Tobacco Control Strategic Planning, Tobacco Disparity Planning, and follow-up on complaints from the public regarding violations of the youth access statute and the smoke-free workplace and smoke-free schools statutes.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check

all that apply.)

- ☒ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☒ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☒ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☐ Difficulties recruiting youth inspectors
- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☒ Other challenges (*Please list.*) _____

Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for TA related to each relevant challenge.

There are four main challenges Rhode Island faces in complying with the Synar regulation:

First, due to increasing state budget deficits, the Department of Mental Health, Retardation & Hospitals has experienced decreased allocations for youth access enforcement activities over the past three budget cycles. The Department expects a similar reduction in funding for the next fiscal year. To counter anticipated funding reductions, the Department will focus on expanding the strong partnerships it has established with the Department of Health's funded community organizations, local task forces and local police department to ensure continuation of enforcement efforts at the municipal level.

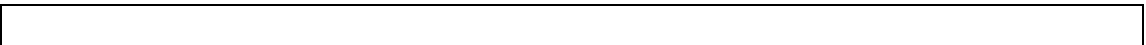
Second, as previously stated, the State's youth access to tobacco statute was amended during the 2005 state legislative session which effectively removed license revocation as a sanction for repeat violations of the statute. The current State Strategic Plan for Tobacco Control includes recommendations for reintroduction of the possibility of license revocation for repeat violations in proposed amendments to the current youth access statute.

Third, ensuring the accuracy of the tobacco outlets list will continue to be a labor intensive challenge for the Department. The plan for maintaining an accurate list of Tobacco Vendor Licenses is as follows: Rhode Island retail tobacco vendor licenses are obtained through the Division of Taxation. Due to staff shortages at the Division of Taxation, Rhode Island's list of retail tobacco vendors is not completely current. Therefore, the Department of Mental Health, Retardation & Hospitals has been maintaining a separate database which is subsequently cross-referenced with the Division of Taxation's list for accuracy. Four years ago, the State legislature included a provision in the State's budget which required all retail tobacco vendors to pay an

annual \$25.00 renewal fee for a retail tobacco vendor license. Implementation of the annual fee provision began in the summer of 2006. The stated purpose for imposing this fee was to generate income and to help improve the accuracy of the retail tobacco licensed vendors' list maintained by the Division of Taxation. Continued staff shortages at the Division of Taxation have prevented the Division from fully enforcing the new requirement. The difficulty encountered by the Division of Taxation in fully enforcing the annual license renewal requirement means that the list received from the Division of Taxation will continue to be subjected to the same extensive clean-up process conducted by MHRH and Taxation staff to improve the accuracy of the list prior to the conduct of random sampling for the annual Synar survey.

Another issue that has become more problematic in recent years with respect to maintaining the accuracy of the retail outlet list has been the ability of retail tobacco license holders to use a home address rather than the retail outlet address on the license application. Because RI statute requires a separate tobacco license for each outlet site, the license application requires submission of both the physical address of the outlet and a mailing address if different from the outlet address. Staffing shortages at Taxation have prevented frequent inspections of the actual outlets to detect violations and this has made both the list cleaning process and enforcement efforts more time-consuming.

Finally, while local police departments report overall higher levels of compliance with the State's tobacco control statutes, there appears to be a small group of repeat violators who have taken advantage of certain provisions in the statutes to avoid significant sanctions. These violators engage in such behaviors as selling only to underage youths known to the store owner; selling unstamped cigarettes at a lower cost which serves to attract underage buyers; and if cited for violations, immediately transferring licenses to other family members or associates which hinders both prosecution and the imposition of graduated sanctions. In order to counter these practices more effectively, the municipal police departments will be coordinating their enforcement efforts with inspectors from the Division of Taxation and citations will be issued simultaneously for any alleged violations. Proposed amendments to the State's retail tobacco statutes, including the youth access statutes, will include a ban on the transfer of all licenses until all violations have been adjudicated.



APPENDIX A: FORMS 1–5

FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate using results from the current year's Synar survey inspections.

Instructions for Completing Form 1: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2009). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the State must be listed.

If no stratification was used:

1(a) Leave blank.

1(b) Write "State" in the first row (indicates that the whole state is a single stratum).

Note for unstratified samples: for columns 2-5, wherever the instruction refers to "each stratum," report the specified information for the State as a whole.

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.
3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.
4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.
4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.
5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.
5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each sub-column (a-c) in Columns 2-5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

[illegible]

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).

FORM 2 (Optional)**Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and non-complete inspections encountered during the annual Synar survey.

Instructions for Completing Form 2: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2009).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, including substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL: For Columns 2-6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7-11, it calculates the respective statistic for the State as a whole.

FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2009
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate ($p=x/n2$)
- N' - estimated number of eligible outlets in population ($N'=N*n1/n$)
- w - relative stratum weight ($w=N'/\text{Total Column 8}$)
- pw - stratum contribution to the weighted retailer violation rate
- s.e. - standard error of the stratum RVR

FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2009).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the State must be listed.

If no stratification was used: Write “State” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3-5, provide totals for the State as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
				State: _____
				FFY: 2009
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

FORM 4 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

Instructions for Completing Form 4:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2009).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked **“Total.”**

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked **“Total.”**

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: _____	
		FFY: 2009	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Run out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
Total		Total	

FORM 5 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

Instructions for Completing Form 5: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2009).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "OTHER" row. Calculate subtotals for males and females in rows marked SUBTOTALS. Sum SUBTOTALS for male, female, and OTHER and record in the bottom row marked TOTAL. Verify that that the TOTAL of attempted buys and successful buys equal the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2009
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

APPENDICES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State's CSAP-approved sampling design and inspection protocol. These appendices, therefore, should generally describe the design and protocol and are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance written approval. To facilitate the State's completion of this section, simply "cut and paste" the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: RI
FFY: 2009

1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)
☐ Area frame (*Go to Question 3.*)
☐ List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

Use the corresponding number to indicate Type of Source in the table below.

- | | |
|---|--|
| 1 – Statewide commercial business list | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Statewide tobacco license list	3	Division of Taxation List. Licenses are renewable annually for a \$25 license fee.	The list is updated annually. Taxation sends out renewal notices and generates list based on new licenses and renewals during SFY. List is updated based on mailings, phone calls, and reconciliation with previous year's list

3. If an area frame is used, describe how area sampling units are defined and formed.

- a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No

If Yes, what percentage of the State's population is not covered by the area frame?
 _____%

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? ☒ Yes ☐ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines
☐ State law bans vending machines from locations accessible to youth

- ☐ State has SAMHSA approval to exempt vending machines from the survey
☐ Other *(Please describe.)* _____

5. Which category below best describes the sample design? (Check only one.)

- ☐ **Census** *(STOP HERE: Appendix B is complete.)*

Unstratified State-wide sample:

- ☒ Simple random sample *(Go to Question 9.)*
☐ Systematic random sample *(Go to Question 6.)*
☐ Single-stage cluster sample *(Go to Question 8.)*
☐ Multi-stage cluster sample *(Go to Question 8.)*

Stratified sample:

- ☐ Simple random sample *(Go to Question 7.)*
☐ Systematic random sample *(Go to Question 6.)*
☐ Single-stage cluster sample *(Go to Question 7.)*
☐ Multi-stage cluster sample *(Go to Question 7.)*
☐ **Other** *(Please describe and go to Question 9.)* _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

7. Provide the following information about stratification.

a. Provide a full description of the strata that are created.

b. Is clustering used within the stratified sample?

- ☐ **Yes** *(Go to Question 8.)*
☐ **No** *(Go to Question 9.)*

8. Provide the following information about clustering.

a. Provide a full description of how clusters are formed. (If multi-stage clusters are used, give definitions of clusters at each stage.)

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The effective sample size (n) is calculated as follows to achieve a 95% confidence interval + 3%:

$n = 1/[(se^2/(p*q)) + (1/N)]$, where

n = sample size

N = sampling frame size, or universe of outlets statewide

p = proportion of unsuccessful buys (.80)

q = proportion of successful buys (.20)

z = z-score for level of confidence of .95 (1.645)

CI = confidence interval + range (.03)

The target sample size is calculated as the effective sample size x the design effect (which is 1).

The original outlet sample size is calculated as the target sample size x (1 + the overdraw factor). The overdraw factor for this FY is .50.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: RI
FFY: 2009

Note: Attach a copy of the inspection form and protocol used to record the inspection result.

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|--|--|
| <input type="checkbox"/> Required | <input checked="" type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|--|---|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input checked="" type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☒ Law enforcement agency(ies)
☐ State or local government agency(ies) other than law enforcement
☐ Private contractor(s)
☐ Other

List the agency name(s): _____

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

- ☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

Recruitment and training of youths is primarily done by each police department with assistance from local RISAPA task forces. MHRH, in conjunction with the RI Municipal Police Academy, trains police departments annually on the survey protocol which is the tool used by the police departments to train the youth. MHRH refers municipal police departments to local RISAPA task forces for assistance in recruiting youth surveyors.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ **Yes** ☐ **No** *(If Yes, please describe.)*

RI Gen Laws Title 11 Criminal Offenses Chapter 11-9 Children
11-9-13.6

Underage individuals, acting as agents for the department of mental health, retardation and hospitals and with the written permission of a parent or guardian, may purchase, with impunity from prosecution, tobacco products for the purposes of law enforcement or government research involving monitoring compliance with this chapter, provided that the underage individuals are supervised by an adult law enforcement official. Any individual participating in an unannounced compliance check of the over-the-counter or vending machine sales, must state his or her accurate age if asked by the sales

representative of the retail establishment being checked.

b. Procedural ☒ **Yes** ☐ **No** *(If Yes, please describe.)*

Synar Survey Protocol

LOGISTICS

- ☐ The survey is targeted to be completed in one month.
- ☐ The survey is to be conducted during after school hours or weekends.
- ☐ Survey only those outlets for which you receive a survey form. If the outlet is closed, no longer sells tobacco products, or if conditions are unsafe for inspecting, note this information on the data collection form with an explanation of why the purchase survey was not completed.
- ☐ Survey teams should consist of one police officer and one surveyor if male or two surveyors if female.

SURVEYORS

- ☐ Surveyors should be between the age of 15 and 16, avoid those youth that appear older than or younger than these ages.
 - ☐ Hold an age verification panel, using the Age Rating Sheet; by having 3 to 4 people rate the apparent age of the youth surveyor.
 - ☐ There should be approximately 50% female surveyors and 50% male surveyors.
 - ☐ Surveyors should dress as they would normally; avoiding makeup and clothing that would make them appear older than 16 years of age.
 - ☐ All departments will be required to have money for the purchase of the cigarettes during the survey and only give the buy money to the youth once you reach the survey site.
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- ☐ Surveyors must be paid minimum wage per hour; the request for reimbursement must be made

on an invoice form along with the request for reimbursement of the officers and the buy money spent.

PROCEDURES

- ☐ Each participating law enforcement official will receive the survey forms for the sites for which she or he is responsible.
- ☐ Due to the guidelines for the survey process it is critical that you only survey sites for which you have received a report form, no site substitution is allowed.
- ☐ Police officers are to drive surveyors to the selected site in an unmarked police vehicle.
- ☐ Police officers should park cars in a location where the surveyor can enter and exit the car and the establishment safely but not be in direct view of the survey site's personnel.
- ☐ The youth will enter the establishment and attempt to make a purchase if:
- ☐ There are no police officers who are not part of the survey team present in the establishment.
- ☐ The youth, upon entering the establishment determines that she or he does not know anyone present.
- ☐ If the situation does not appear to be dangerous.

- ☐ Packs to be requested are: Marlboro's, Camel's or Newport's.
- ☐ Surveyors are to leave their ID in the vehicle with the officer.
- ☐ If asked their age the surveyor is to be truthful and if asked for ID they are to say they don't have any with them.
- ☐ If a purchase is made the surveyor is to pay for the product and leave the establishment quickly.

☐ Upon completion of the survey the youth surveyor is to complete the report form prior to moving

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

See Survey Protocol for question 5

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☒ Yes ☐ No (If Yes, please describe.)

RI Gen Laws Title 11 Criminal Offenses Chapter 11-9 Children

§ 11-9-13.6 Duties of the department of mental health, retardation and hospitals. – The department of mental health, retardation and hospitals shall:

- (1) Coordinate and promote the enforcement of the provisions of this chapter and serve as the primary liaison from this department to other state or local agencies, departments, or divisions on issues pertaining to stopping children's access to tobacco.
- (2) Provide retail tobacco products dealers signs concerning the prohibition of sales to children under eighteen (18) years of age. The signs, conforming to the requirements of this chapter, shall be sold at cost. This sign, or an exact duplicate of it made privately, shall be displayed in all locations where tobacco products are sold.
- (3) Investigate concurrently with other state and local official's violations of this chapter.
- (4) Utilize unannounced statewide compliance checks of tobacco product sales including retail tobacco over-the-counter sales, mail order sales initiated via mail, facsimile, telephone or internet ordering or other types of electronic communications, and tobacco vending machine sales as part of investigating compliance with the provisions of this chapter. Underage individuals, acting as

agents for the department of mental health, retardation and hospitals and with the written permission of a parent or guardian, may purchase, with impunity from prosecution, tobacco products for the purposes of law enforcement or government research involving monitoring compliance with this chapter, provided that the underage individuals are supervised by an adult law enforcement official. Any individual participating in an unannounced compliance check of over-the-counter or vending machine sales, must state his or her accurate age if asked by the sales representative of the retail establishment being checked.

- (ii) In fulfilling the requirement of unannounced statewide compliance checks, the department of mental health, retardation and hospitals shall maintain complete records of the unannounced compliance checks, detailing, at least, the date of the compliance check, the name and address of the retail establishment checked or the mail order company, the results of the compliance check (sale/no sale), whether the sale was made as an over-the-counter sale, a mail order purchase or a tobacco vending machine sale, and if a citation was issued for any violation found. The records shall be subject to public disclosure. Further, the department of mental health, retardation and hospitals shall report to the owner of each retail establishment checked or mail order company, the results of any compliance check (sale/no sale) whether the sale was made as an over-the-counter sale, a mail order purchase or a tobacco vending machine sale, and if a citation was issued for any violation found.
- (5) Seek enforcement, concurrently with other state and local officials, of the penalties as detailed in this chapter.

(6) Develop and disseminate community health education information and materials relating to this chapter.
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b. Procedural ☒ **Yes** ☐ **No** *(If Yes, please describe.)*

See Survey Protocol for Question 5

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: RI
FFY: 2009

1. Calendar year of the coverage study: 2006

2. Percent coverage found: 91.2%

(Provide calculation of the percent coverage.)

As calculated below:

of Outlets matched with the list frame (b): 115

of Outlets found by the coverage study (n): 126

of Outlets canvassed but not found in the list frame (missing): 11

Coverage rate (100 x b/n): 91.2%

3. Provide a description of the coverage study methods and results.

Step 1: The Department of Mental Health, Retardation and Hospitals received the list of all licensed tobacco vendors from the Department of Taxation.

Step 2: Department staff revised and updated the list. (See below for details).

- 1) Obtained the list from taxation. Added “VEND” and “OTC” in column labeled “Type” and merged the two categories.
- 2) Added columns for location address, mail address, location name, mail name, and took relevant data from other fields and merged them into those columns.
- 3) Standardized addresses, and corrected those that were invalid through telephone calls, mailings, and site visits. Also searched for and removed duplicates.
- 4) Compared list to last year’s sites surveyed. Sites found to be “out of business” or “no longer selling tobacco” were removed from the list.

Step 3: Created a listing of sites in an Excel spreadsheet which included Establishment Name, Address, City, State, and Zip Code. Note: In 2005 a law went into effect prohibiting smoking inside of restaurants and bars. Therefore, vending machines are no longer utilized. The total number OTC tobacco outlets in this list were 1630.

Step 4: The list of OTC tobacco outlets was imported into Maptitude Software and divided by census tracts based on address and zip code. Census tracts that contained less than 20 outlets were combined logically with neighboring geographic tracts to fall within the expected average group size. Expected average group size is between 7 and 20 outlets. All census tract groups fall within this range.

Step 5: Used SPSS simple random sample function to randomly sample a total of 10 areas

which contained a total of 137 outlets. Printed list of all outlets in this sample for later coverage validation. Post-survey note: When matching the sites surveyed with the list of randomly selected sites, it was determined that two sites on the sampled list were duplicates. Specifically, it was determined by phone conversation with the owner of the first site that he purchased a second tobacco license and called the business by a different name. For the second duplicate, it was determined by phone conversation with the Division of Taxation that there was only one license for that location, but it was listed with two different names on the Division of Taxation licensing list. Therefore, a total of 2 records were removed from the original sample list, resulting in a sample total of 135 sites.

Step 6: Printed street maps of all the boundaries of each census tract or tract group from the Maptitude software.

Step 7: Tobacco enforcement coordinator distributed the census maps to the field workers and presented the protocols for completing the coverage study. Field workers were instructed to canvass each street covered within the census tracts they were given.

Step 8: Field workers went out in pairs and thoroughly canvassed their assigned tracts. Field workers listed all outlets found in each census area, and indicated whether or not the outlet sold tobacco products and was accessible to youth under 18.

Step 9: A total of 126 sites were canvassed. The following spreadsheet contains the field workers' canvassing data:

*The asterisked sites (total of 11) were found within the census tracts while canvassing, but were not included in the original sample frame. The remaining 115 sites were matched with records in the sample frame.

Note:

The tobacco enforcement coordinator and data analyst compared the field workers' lists with the original sample frame list of 135 sites.

An additional ten sites were identified during canvassing as being "Out of business", and were also found on the original sample frame list.

An additional four sites were identified during canvassing as operational but "No longer selling tobacco", and were also found on the original sample frame list.

Finally, there were six instances of procedural error, where the canvassers did not traverse the entire distance of the census tract, and therefore missed outlets that should have been included in the survey.

Step 10 (Results):

of Outlets matched with the list frame (b): 115

of Outlets found by the coverage study (n): 126

of Outlets canvassed but not found in the list frame (missing): 11

Coverage rate (100 x b/n): 91.2%
